

Instructions for the nominees: The Senate Committee on Commerce, Science, and Transportation asks you to provide typed answers to each of the following questions. It is requested that the nominee type the question in full before each response. Do not leave any questions blank. Type "None" or "Not Applicable" if a question does not apply to the nominee. Return printed answers to Committee. Begin each section (i.e., "A", "B", etc.) on a new sheet of paper.

A. BIOGRAPHICAL INFORMATION AND QUALIFICATIONS

1. Name (Include any former names or nicknames used): Karl Leo Schultz
2. Position to which nominated: Commandant, U.S. Coast Guard - Admiral (O-10)
3. Date of Nomination: 08 March 2018
4. Address (List current place of residence and office addresses):

[REDACTED]
Office: Coast Guard Atlantic Area, 431 Crawford Street, Portsmouth, VA 23704

5. Date and Place of Birth: 14 June 1961; Hartford, Connecticut
6. Provide the name, position, and place of employment for your spouse (if married) and the names and ages of your children (including stepchildren and children by a previous marriage).

Spouse: Dawn Marie Schultz; stay-at-home mother

Children: Kelsey Elisabeth Schultz, 24

Lindsey Marie Schultz, 24

Annaliene Nicole Schultz, 20

Eric Karl Schultz, 19
[REDACTED]

7. List all college and graduate degrees. Provide year and school attended.

1979-1983: U.S. Coast Guard Academy; Bachelor of Science - Civil Engineering

1991-1992: University of Connecticut; Master of Arts in Public Administration

2005-2006: Harvard University, Kennedy School of Gov't; Nat'l Security Fellow

8. List all post-undergraduate employment, and highlight all management level jobs held and any non-managerial jobs that relate to the position for which you are nominated.

1983-present: Commissioned Officer, United States Coast Guard

Management Level Positions:

1985-1987: Executive Officer, United States Coast Guard Cutter PETREL

1989-1991: Commanding Officer, United States Coast Guard Cutter FARALLON
1996-1999: Commanding Officer, United States Coast Guard Cutter ACACIA
2003-2005: Commanding Officer, United States Coast Guard Cutter VENTUROUS
2006-2008: Commander, Coast Guard Sector Miami, Florida: Captain of the Port;
Federal Maritime Security Coordinator; Search and Rescue Mission Coordinator; Federal
On-scene Coordinator; and Officer-in-Charge Marine Inspection
2008-2010: Chief, Coast Guard Congressional and Governmental Affairs Division
2010-2012: Director, Governmental and Public Affairs (CG-092)
2012-2014: Commander, Eleventh Coast Guard District
2014-2016: Director of Operations, U.S. SOUTHERN Command
2016-Pres: Commander, Coast Guard Atlantic Area/Director DHS Joint Task Force-East

Non-managerial Level Positions:

1987-1989: Command Center Duty Officer, Seventh Coast Guard District, Miami, FL
1993-1996: Officer Personnel Management Division, Coast Guard Personnel Command
1999-2000: Department of State, Coast Guard Liaison Officer to the Bureau of
International Narcotics and Law Enforcement Affairs (INL)
2000-2003: Congressional Liaison Officer, United States House of Representatives

9. Attach a copy of your resume. My official Coast Guard Resume is attached.

10. List any advisory, consultative, honorary, or other part-time service or positions with Federal, State, or local governments, other than those listed above, within the last five years. None.

11. List all positions held as an officer, director, trustee, partner, proprietor, agent, representative, or consultant of any corporation, company, firm, partnership, or other business, enterprise, educational, or other institution within the last five years. None

12. Please list each membership you have had during the past ten years or currently hold with any civic, social, charitable, educational, political, professional, fraternal, benevolent or religious organization, private club, or other membership organization. Include dates of membership and any positions you have held with any organization. Please note whether any such club or organization restricts membership on the basis of sex, race, color, religion, national origin, age, or handicap.

Family membership to the West Broward County (Florida) YMCA - Fitness Center/Youth Sports/Recreational (2006-2010 and 2014-Present). Family membership to the Novato (California) YMCA (2012-2014). No restrictions on membership on the basis of sex, race, color, religion, national origin, age or handicap.

13. Have you ever been a candidate for and/or held a public office (elected, non-elected, or appointed)? If so, indicate whether any campaign has any outstanding debt, the amount, and whether you are personally liable for that debt. No.

14. Itemize all political contributions to any individual, campaign organization, political party, political action committee, or similar entity of \$500 or more for the past ten years.
None

15. List all scholarships, fellowships, honorary degrees, honorary society memberships, military medals, and any other special recognition for outstanding service or achievements.

Pi Alpha Alpha, Nat'l Honor Society-Public Affairs & Administration (not-active)

16. Please list each book, article, column, or publication you have authored, individually or with others. Also list any speeches that you have given on topics relevant to the position for which you have been nominated. Do not attach copies of these publications unless otherwise instructed. None

17. Please identify each instance in which you have testified orally or in writing before Congress in a governmental or non-governmental capacity and specify the date and subject matter of each testimony.

- (a) 02 November 2017, as Commander, Atlantic Area before the Committee on Transportation and Infrastructure of the House of Representatives. Subject of the hearing was "Emergency Response and Recovery: Central Takeaways from the Unprecedented 2017 Hurricane Season."
- (b) 04 April 2017 as Director, Joint Task Force – East (JTF-E) before the Border and Maritime Security Subcommittee of the House Committee on Homeland Security. Subject of the hearing was "Defeating a Sophisticated and Dangerous Adversary: Are the New Border Security Task Forces the Right Approach?"
- (c) 16 June 2015, as Director of Operations U.S.SOUTHERN Command before the Coast Guard and Maritime Transportation Subcommittee of the House Transportation and Infrastructure Committee. Subject of hearing was "Western Hemisphere Drug Interdiction Efforts."
- (d) 26 November 2007, as Commander, Coast Guard Sector Miami, Florida on "Maritime Border Security" before the House of Representatives Committee on Homeland Security (CHS), Subcommittee on Border, Maritime and Global Counter-Terrorism. This was a Field Hearing held at the Miami City Hall in Coconut Grove, Florida.

18. Given the current mission, major programs, and major operational objectives of the department/agency to which you have been nominated, what in your background or employment experience do you believe affirmatively qualifies you for appointment to the position for which you have been nominated, and why do you wish to serve in that position?

For the past 35 years I have served as a commissioned Coast Guard officer in a broad range of challenging operational and staff assignments, including external liaison positions at the Department of State and on Capitol Hill, and in a DoD Joint Service billet at U.S. SOUTHERN Command in Miami, Florida where I served for two years as the Director of Operations (J-3). In my current assignment as Atlantic Area Commander for the past 20 months, I've been privileged to oversee all Coast Guard operations east of the Rocky Mountains to the Arabian Gulf, and lead about two-thirds of all frontline Coast Guard operators. While at Atlantic Area, I have concurrently served as the Director of the Department of Homeland Security's (DHS) Joint Task Force - East (JTF-E), tasked to enhance the coordination and synchronization of DHS cross-component operations and investigations within our vast and predominantly maritime joint operating area.

The Service has also provided me with enriching academic opportunities such as obtaining a Master's Degree in Public Administration, and completing a one year National Security Fellowship at Harvard University's Kennedy School of Government. I believe the diversity of my aforementioned professional experiences, and a proven track record of performance within the Coast Guard, interagency, and the joint service environments, position me well for continued service as a senior Coast Guard leader. I have been nominated to serve as the 26th Commandant of the United States Coast Guard and I can think of no higher calling to serve the nation, the Department of Homeland Security, and the men and women that comprise the Service's active duty, Reserve, civilian and Auxiliary (volunteer) ranks. While humbled and honored beyond words by the President's nomination, I am confident in my readiness to serve in this demanding position and to best represent the interests of the nation, our Coast Guard, and the men women I will be entrusted to lead and have the privilege to serve alongside of.

19. What do you believe are your responsibilities, if confirmed, to ensure that the department/agency has proper management and accounting controls, and what experience do you have in managing a large organization?

As a career commissioned officer in our nation's Armed Services, and as a federal government employee, I hold myself and my organization wholly accountable for being responsible stewards of the public trust, including all fiscal resources, assets and equipment, and for the associated supervisory responsibility for my organization's subordinates. As a former Congressional Liaison to the House of Representatives, former Chief of Coast Guard Congressional and Governmental Affairs, and the flag officer Director of the Coast Guard's Governmental and Public Affairs programs, I am intimately familiar with the critical importance of a federal agency such as the Coast Guard strictly adhering to the highest standards of proper management, fiduciary responsibility, accounting controls and transparent behavior. I believe my record of responsibly leading organizations from the regional, through theater level, including within the Interagency and Joint domains, demonstrates a strong and steady commitment to proper management and accounting controls.

20. What do you believe to be the top three challenges facing the department/agency, and why?

In a department dedicated to the security of our Homeland, the interdependence of the legitimate flow of commerce and security is clear. As our partners in the Department of Defense address a multitude of national security challenges overseas, the Coast Guard must continue to combat the full spectrum of transnational crime in the Western Hemisphere, including the transshipment of illicit narcotics. The Coast Guard must continue to enhance our domestic and international partnerships, where possible, pushing out our borders and enabling mutual security opportunities. The Service must continue to enable economic prosperity by ensuring the security of the maritime transportation system (MTS) whereon 95% of our Nation's commerce occurs, facilitating \$4.6 trillion in annual economic activity.

Protecting the homeland in an environment where trans-regional terrorist organizations and violent extremists are increasingly more prevalent will remain a daunting challenge for our nation's security forces, including the United States Coast Guard – the lead federal agency for maritime safety and security. Under that umbrella falls the large task of combatting transnational criminal organizations whose activities threaten the stability and legitimacy of partner nation governments in the Western Hemisphere, fuel extreme violence, and seed corruption. While the illicit and violent activities that transnational criminals engage in typically occur far from our homeland, the effects and impacts of those activities manifest themselves at our borders and in our American cities and neighborhoods. More than 50,000 Americans died of drug related causes last year alone, and tens of thousands of unaccompanied children are sent by their families on the long and arduous journey to escape the violence and lack of opportunity found in their Central American home towns and cities in the Northern Triangle where the homicide rates are up to 20 times that found in America. These transnational criminals exploit highly sophisticated smuggling networks to facilitate the movement of their illicit cargoes and activities from south to north, including drug and migrant smuggling, as well as the trafficking of persons. Along these same corridors or networks, bulk cash and weapons move in the reverse direction, completing the cycle of illicit activity. Protecting the homeland from the aforementioned threats, as well as from homegrown violent extremists, will remain a top priority mission and challenge for the Department of Homeland Security and the United States Coast Guard.

Secondly, the Coast Guard is on solid footing with stable requirements for recapitalizing our aging assets into a capable force to execute our broad portfolio of homeland security and other legacy missions. Predictable/stable funding, at the appropriate levels, is essential to maintaining momentum. Near term investments must be viewed as providing continuity for essential service delivery. Sustained momentum on this front will require open and honest dialogue, and likely hard choices - this is the nature of our government. A clear focus will be required to restore the service's declining readiness and significant lost buying power, the result of multiple years of funding at/or below Budget Control Act (BCA) caps for non-defense discretionary spending, by making timely and necessary investments in key assets, infrastructure, and our Coast Guard workforce. Additionally, the Coast Guard faces evolving and uncertain threats in the Cyber Space domain, as well as increasing levels of activity in an expanding Arctic region where the service has statutory responsibilities related to the safety, security and stewardship of those operating

in the region and the environment itself. As the fifth Armed Service, the Coast Guard must strive to enjoin our readiness funding needs to the Administration's ongoing efforts to rebuild the nation's Armed Forces. It is paramount that the Coast Guard remain efficient and effective fiscal stewards of taxpayer monies and continue to annually earn a clean financial audit. The increasing costs we face servicing the interest on our \$20 trillion federal debt, and the ongoing struggle as a nation to reach any kind of an agreement or shared definition regarding the appropriate size and nature of the services and programs our government should provide, pose a not too distant existential fiscal threat to operating agencies like the Coast Guard.

Thirdly, the Coast Guard will need to be mindful of managing its human capital, of remaining an "*employer of choice*" amidst a changing American workforce at a time when a new military retirement plan - the Blended Retirement System - was introduced at the start of this calendar year, and high tech competitive industries are seeking the same talent we need in our ranks. As a service, the Coast Guard will need to continue to demonstrate the value we place on our people, value that is measured in terms of trust, opportunity, professional growth and satisfaction. We need to draw the best talent possible from across America to fill our ranks - officer, enlisted and civilian. While our workforce is remarkably capable and productive, we have the opportunity and obligation for this workforce to be more representative of the citizens we serve, and the Coast Guard must continue to raise awareness of career opportunities in our service to under-represented groups and inspire inclusiveness. Lastly, we need to provide our people with the training, educational benefits, health care and family support programs that make them want to stay attached to our brand.

B. POTENTIAL CONFLICTS OF INTEREST

1. Describe all financial arrangements, deferred compensation agreements, and other continuing dealings with business associates, clients, or customers. Please include information related to retirement accounts.

Please see my PFDR.

2. Do you have any commitments or agreements, formal or informal, to maintain employment, affiliation, or practice with any business, association or other organization during your appointment? If so, please explain. None

3. Indicate any investments, obligations, liabilities, or other relationships which could involve potential conflicts of interest in the position to which you have been nominated. None

4. Describe any business relationship, dealing, or financial transaction which you have had during the last ten years, whether for yourself, on behalf of a client, or acting as an agent, that could in any way constitute or result in a possible conflict of interest in the position to which you have been nominated. None

5. Describe any activity during the past ten years in which you have been engaged for the purpose of directly or indirectly influencing the passage, defeat, or modification of any legislation or affecting the administration and execution of law or public policy.

My official Coast Guard duties have from time to time required me to make recommendations to Coast Guard officials regarding Coast Guard policy and Coast Guard related legislation.

6. Explain how you will resolve any potential conflict of interest, including any that may be disclosed by your responses to the above items.

I will obtain advice from a Coast Guard ethics official and follow that advice.

C. LEGAL MATTERS

1. Have you ever been disciplined or cited for a breach of ethics by, or been the subject of a complaint to any court, administrative agency, professional association, disciplinary committee, or other professional group? If so, please explain. No.
2. Have you ever been investigated, arrested, charged, or held by any Federal, State, or other law enforcement authority of any Federal, State, county, or municipal entity, other than for a minor traffic offense? If so, please explain. No.
3. Have you or any business of which you are or were an officer ever been involved as a party in an administrative agency proceeding or civil litigation? If so, please explain. No.
4. Have you ever been convicted (including pleas of guilty or *nolo contendere*) of any criminal violation other than a minor traffic offense? If so, please explain. No.
5. Have you ever been accused, formally or informally, of sexual harassment or discrimination on the basis of sex, race, religion, or any other basis? If so, please explain. No.
6. Please advise the Committee of any additional information, favorable or unfavorable, which you feel should be disclosed in connection with your nomination. None.
7. If you ever served as a general court-martial convening authority involving an offense involving sexual misconduct or assault, have you ever disapproved the findings of a court-martial related to the offense(s) or reduced the sentence adjudged by a court-martial, other than in connection with a pre-trial agreement? No

D. RELATIONSHIP WITH COMMITTEE

1. Will you ensure that your department/agency complies with deadlines for information set by congressional committees? Yes.
2. Will you ensure that your department or agency does whatever it can to protect congressional witnesses and whistle blowers from reprisal for their testimony and disclosures? Yes.
3. Will you cooperate in providing the Committee with requested witnesses, including technical experts and career employees, with firsthand knowledge of matters of interest to the Committee? Yes.
4. Are you willing to appear and testify before any duly constituted committee of the Congress on such occasions as you may be reasonably requested to do so? Yes.

(Nominee is to include this signed affidavit along with answers to the above questions.)

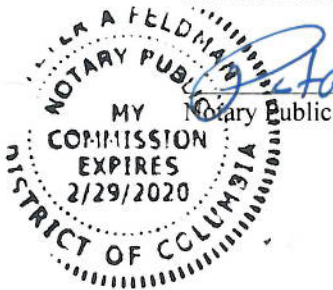
F. AFFIDAVIT

Karl L. Schultz being duly sworn, hereby states that he/she has read and signed the foregoing Statement on Biographical and Financial Information and that the information provided therein is, to the best of his/her knowledge, current, accurate, and complete.



Signature of Nominee

Subscribed and sworn before me this 21 day of March, 2018.





Vice Admiral Karl L. Schultz

Commander, Coast Guard Atlantic Area
Commander, Coast Guard Defense Force East
Director, DHS Joint Task Force - East



Vice Admiral Schultz assumed the duties of Commander, Coast Guard Atlantic Area on August 4, 2016. He serves as the operational commander for all Coast Guard missions from the Rocky Mountains to the Arabian Gulf, spanning across five Coast Guard Districts and 40 states. In addition to his duties at Atlantic Area, he serves as Commander, Coast Guard Defense Force East, which provides Coast Guard mission support to the Department of Defense and Combatant Commanders. He concurrently serves as Director, DHS Joint Task Force - East, responsible for achieving the objectives of the DHS Southern Border and Approaches Campaign Plan throughout his Joint Operating Area, which covers the Caribbean Ocean and Eastern Pacific Region and Central America.



Vice Admiral Schultz reports to the Atlantic Area having recently served as Director of Operations (J3), U.S. Southern Command in Doral, Florida, where he directed joint service military operations across the Caribbean Basin, Central and South America. Prior flag officer assignments were Commander, Eleventh Coast Guard District, where he was responsible for multi-mission operations from California to Peru, and Director of Governmental and Public Affairs at Coast Guard Headquarters in Washington, D.C., where he was responsible for external engagement with Congress, the media, and inter-governmental entities.

Previous operational assignments include Sector Command in Miami, as well as command tours aboard Cutters VENTUROUS, ACACIA and FARALLON. Staff assignments include Chief of the Office of Congressional and Governmental Affairs; Congressional Liaison Officer to the U.S. House of Representatives; Liaison Officer to the U.S. Department of State, Bureau for International Narcotics and Law Enforcement Affairs; Assignment Officer at the Coast Guard Personnel Command, and Command Duty Officer in the Seventh Coast Guard District Operations Center in Miami.

Vice Admiral Schultz is a native of East Hartford, Connecticut and a 1983 Coast Guard Academy graduate, earning a Bachelor of Science degree in Civil Engineering. In 1992, he was awarded a Master's Degree in Public Administration from the University of Connecticut, and in 2006 completed a one year National Security Fellowship at Harvard University's Kennedy School of Government.

His personal awards include the Defense Superior Service Medal, four Legions of Merit, four Meritorious Service Medals, three Coast Guard Commendation medals, two Coast Guard Achievement Medals, and various other personal and unit awards.

VICE ADMIRAL Karl L. Schultz

Current Assignment

08/2016 – present

Commander, Coast Guard Atlantic Area/Director DHS Joint Task Force – East (JTF-E)

Assignment History

06/2014 – 07/2016	U.S. SOUTHERN COMMAND, Director of Operations (J-3)
07/2012 – 06/2014	Commander, Coast Guard District Eleven
01/2010 – 06/2012	Director, Governmental and Public Affairs (CG-092)
09/2009 – 12/2009	Acting Director, Governmental and Public Affairs (CG-092) and Chief, Congressional and Governmental Affairs (CG0921)
07/2008 – 08/2009	Chief, Congressional and Governmental Affairs (CG0921)
07/2006 – 06/2008	Commander, Coast Guard Sector Miami, FL
08/2005– 06/2006	National Security Research Fellow, Harvard University – Kennedy School of Government
07/2003– 07/2005	Commanding Officer, USCGC VENTUROUS (WMEC-625)
06/2000– 06/2003	Congressional Liaison Officer, U.S. House of Representatives
07/1999– 05/2000	Liaison, Department of State, Bureau for International Narcotics and Law Enforcement Affairs (INL)
07/1996– 06/1999	Commanding Officer, USCGC ACACIA (WLB-406)
06/1994– 06/1996	Assignment Officer, Military Personnel Command (OPM-2)
01/1993– 05/1994	Evaluations Branch, Military Personnel Command (OPM-3)
08/1991– 12/1992	Duty under Instruction (DUINS) – University of Connecticut
06/1989– 07/1991	Commanding Officer, USCGC FARALLON (WPB-1301)
06/1987– 05/1989	Rescue Coordination Center Controller/Law Enforcement Duty Officer, Seventh Coast Guard District Command Center, Miami
06/1985– 05/1987	Executive Officer, USCGC PETREL (WSES-4)
06/1983– 05/1985	Operations Officer, USCGC GENTIAN (WLB-290)

Educational Summary

1979 – 1983	U.S. Coast Guard Academy, Bachelor of Science – Civil Eng.
1991 – 1992	University of Connecticut, School of Urban and Public Affairs; Master of Science – Public Administration
2005 – 2006	1-yr Research Fellowship in National Security Studies – Harvard University, John F. Kennedy School of Government

Military Personal Awards and Significant National Recognition or Achievement

2016	Defense Superior Service Medal
2014	Legion of Merit
2012	Legion of Merit
2011	Legion of Merit
2008	Legion of Merit
2005	Meritorious Service Medal
2003	Meritorious Service Medal
2000	Coast Guard Commendation Medal
1999	Meritorious Service Medal
1996	Coast Guard Commendation Medal
1995	Coast Guard Achievement Medal

Update: 03/18/18

1994	Commandant's Letter of Commendation
1991	Coast Guard Commendation Medal
1989	Coast Guard Commendation Medal
1987	Coast Guard Achievement Medal

Significant Current Professional Credentials or Recent Activities: N/A